INFORMATION DISCLOSUR	E
STATEMENT BY APPLICAN	Т
(Not for submission under 37 CFR 1.99)

Application Number		09802005
Filing Date		2001-03-08
First Named Inventor	Keith	
Art Unit		3693
Examiner Name	D.S. Felten	
Attorney Docket Number		IVEN125474

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2 6012043 A 2000-01-04 Albright 3 6377940 B2 2002-04-23 Tilfors 4 6493681 B1 2002-12-10 Tertitski 5 6553346 B1 2003-04-22 Walker 6 6594643 B1 2003-07-15 Freeny, Jr.			Patent Number		Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
3 6377940 B2 2002-04-23 Tilfors 4 6493681 B1 2002-12-10 Tertitski 5 6553346 B1 2003-04-22 Walker 6 6594643 B1 2003-07-15 Freeny, Jr.		1	5864827	А	1999-01-26	Wilson	
4 6493681 B1 2002-12-10 Tertitski 5 6553346 B1 2003-04-22 Walker 6 6594643 B1 2003-07-15 Freeny, Jr.		2	6012043	А	2000-01-04	Albright	
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 Keith

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 Examiner Name
 D.S. Felten

 Attorney Docket Number
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Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Kind Publication Code ¹ Date		Name of Patentee or Applicant of cited Document		Pages,Columns,Lines when Relevant Passages or Relev Figures Appear			
	1	20020107781	A1	2002-08	3-08	Neyman					
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	1	LOWENSTEIN, R., "Why Stock Options Can Be Dynamite for a Portfolio," Wall Street Journal (Europe), November 7, 1997, p. 13.					vember 7,				
2 McGUIRE, C., "FIXML Set for Launch," Wall Street & Technology 17(3):50, March 1999.											
	3	TSU, M.E., "Tutorial on	Using Op	tions in A	active St	rategies," Deriva	atives Quarterly 6(1):	39-48, F	all 1999.		

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	EXAMINER SIGNATURE				
Examiner Signature	/Daniel Felten/	Date Considered	05/12/2010		
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Examiner Name	D.S. Felten	
Attanen Deskat Niverbas		IV=N426474

CERTIFICATION STATEMENT

Please see	37 CFR	1 97 and 1	1 98 to make the	appropriate selection(s)	

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1-97(e)(1).

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See attached certification statement.

Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Kevan L. Morgan/	Date (YYYY-MM-DD)	2007-09-24	
Name/Print	Kevan L. Morgan	Registration Number	42015	

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